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PTO/SB/05 (2/98) (modified)

Approved for use through 9/30/2000, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

NEW UTILITY PATENT APPLICATION TRANSMITTAL <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket Number	4483 US
	First Named Inventor	Pavlovic
	Total Pages in this Submission	72
	Express Mail Label No.	EL482472084US

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed \$345.00	6. <input type="checkbox"/> Assignment & Assignment Recordation Cover Sheet
2. <input checked="" type="checkbox"/> Specification (21 pages) <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"><input type="checkbox"/> Descriptive Title of the Invention<input type="checkbox"/> Cross Reference(s) to Related Case(s)<input type="checkbox"/> Statement Regarding Fed sponsored R & D<input type="checkbox"/> Background of the Invention<input type="checkbox"/> Brief Summary of the Invention<input type="checkbox"/> Brief Description of the Drawing(s)<input type="checkbox"/> Detailed Description<input type="checkbox"/> Claim or Claims<input type="checkbox"/> Abstract of the Disclosure	7. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>
3. <input checked="" type="checkbox"/> Drawing(s) <i>(when necessary per 35 USC 113)</i> (44 pages)	8. <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Citation(s)
4. Oath or Declaration <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> New Declaration (3 pages) <input type="checkbox"/> Executedb. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i><ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	9. <input type="checkbox"/> Preliminary Amendment
5. <input type="checkbox"/> Incorporation by Reference <i>(useable if Box 4b is checked)</i> . The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	10. Small Entity Statement <input checked="" type="checkbox"/> New Statement enclosed (1 page) <input type="checkbox"/> Statement filed in prior application. Status still proper and desired
17. If a CONTINUING APPLICATION , check appropriate box and supply the requisite information below and in a preliminary amendment: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: ____/____ Prior application information: Examiner: _____ Group/Art Unit: _____	11. <input checked="" type="checkbox"/> Return Postcard 12. <input type="checkbox"/> _____ 13. <input type="checkbox"/> _____ 14. <input type="checkbox"/> _____ 15. <input type="checkbox"/> _____ 16. <input type="checkbox"/> _____

ADDRESS TO:Box Patent Application
Commissioner for Patents
Washington, D.C. 20231**18. CORRESPONDENCE ADDRESS**

NAME	Laura A. Majerus Fenwick & West LLP				
ADDRESS	Two Palo Alto Square				
CITY	Palo Alto	STATE	CA	ZIP CODE	94306
COUNTRY	U.S.A.	TELEPHONE	(650) 858-7152	FAX	(650) 494-1417
Name (Print/Type)	Laura A. Majerus			Registration No. (Attorney/Agent)	33,417
Signature	Laura Majerus			Date	September 19, 2000

0002/PTO(modified) Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
FEE TRANSMITTAL TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$345.00)		Application Number	To Be Assigned
		Filing Date	Herewith
		First Named Inventor	Pavlovic
		Group Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
		Attorney Docket Number	4483 US

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																								
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. † <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account. Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Other	3. ADDITIONAL FEES <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee Code/Fee</th> <th style="text-align: left;">Small Entity Fee Code/Fee</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Due</th> </tr> </thead> <tbody> <tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td><input type="text"/></td></tr> <tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td><input type="text"/></td></tr> <tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td><input type="text"/></td></tr> <tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td><input type="text"/></td></tr> <tr><td>116/\$380</td><td>216/\$190</td><td>Extension for response within second month†</td><td><input type="text"/></td></tr> <tr><td>117/\$870</td><td>217/\$435</td><td>Extension for response within third month†</td><td><input type="text"/></td></tr> <tr><td>118/\$1,360</td><td>218/\$680</td><td>Extension for response within fourth month†</td><td><input type="text"/></td></tr> <tr><td>128/\$1,850</td><td>228/\$925</td><td>Extension for response within fifth month†</td><td><input type="text"/></td></tr> <tr><td>119/\$300</td><td>219/\$150</td><td>Notice of Appeal</td><td><input type="text"/></td></tr> <tr><td>141/\$1,210</td><td>241/\$605</td><td>Petition to revive unintentionally abandoned application</td><td><input type="text"/></td></tr> <tr><td>142/\$1,210</td><td>242/\$605</td><td>Utility Issue Fee (Or Reissue)</td><td><input type="text"/></td></tr> <tr><td>143/\$430</td><td>243/\$215</td><td>Design Issue Fee</td><td><input type="text"/></td></tr> <tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td><input type="text"/></td></tr> <tr><td>123/\$50</td><td>123/\$50</td><td>Petitions related to provisional applications</td><td><input type="text"/></td></tr> <tr><td>126/\$240</td><td>126/\$240</td><td>Submission of Information Disclosure Statement</td><td><input type="text"/></td></tr> <tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="text"/></td></tr> <tr><td>146/\$690</td><td>246/\$345</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td><input type="text"/></td></tr> <tr><td>149/\$690</td><td>249/\$345</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td><input type="text"/></td></tr> <tr><td colspan="3">Other fee (specify):</td><td><input type="text"/></td></tr> <tr><td colspan="3">Other fee (specify):</td><td><input type="text"/></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (3)</td> <td>(\$) 0.00</td> </tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>	115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>	116/\$380	216/\$190	Extension for response within second month†	<input type="text"/>	117/\$870	217/\$435	Extension for response within third month†	<input type="text"/>	118/\$1,360	218/\$680	Extension for response within fourth month†	<input type="text"/>	128/\$1,850	228/\$925	Extension for response within fifth month†	<input type="text"/>	119/\$300	219/\$150	Notice of Appeal	<input type="text"/>	141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application	<input type="text"/>	142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)	<input type="text"/>	143/\$430	243/\$215	Design Issue Fee	<input type="text"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>	123/\$50	123/\$50	Petitions related to provisional applications	<input type="text"/>	126/\$240	126/\$240	Submission of Information Disclosure Statement	<input type="text"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>	146/\$690	246/\$345	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>	149/\$690	249/\$345	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>	Other fee (specify):			<input type="text"/>	Other fee (specify):			<input type="text"/>	SUBTOTAL (3)			(\$) 0.00
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For	(Col. 1) No. of Existing Claims	minus*	(Col. 2) Highest No. Previously Paid For	=	(Col. 3) Extra**	x	Fee	=	Fee Due
TOTAL		minus*	20 or 0	=		x		=	
INDEP		minus*	3 or 0	=		x		=	
[] First presentation of multiple dependent claim									

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\$) 0.00**

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Laura A. Majerus	Reg. Number	33,417
Signature	<i>Laura Majerus</i>	Date	September 19, 2000

† Request for Extension of Time per 37 CFR 1.136 (d)(3) made hereby
Rev. 11/04/99

PTO/SB/11 (6-95) (modified)

Approved for use through 07/31/96 OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(e) & 1.27(d))-NONPROFIT ORGANIZATION**

Docket Number (Optional):

Applicant or Patentee: Dusko Pavlovic, Douglas Smith and Junbo LiuApplication or Patent No. To Be AssignedFiling Date or Issue Date: HerewithTitle: Method and Apparatus for Determining Colimits of Hereditary Diagrams

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: Kestrel InstituteADDRESS OF NONPROFIT ORGANIZATION: 3260 Hillview AvenuePalo Alto, California 94304

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(c) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(c) and 501(c)(3)) IF
LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding this invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights in the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each such person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
- ☐ each such person, concern or organization is listed below:

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Dr. Cordell GreenTITLE IN ORGANIZATION OF PERSON SIGNING: Director, Kestrel InstituteADDRESS OF PERSON SIGNING: 3260 Hillview Avenue, Palo Alto, CA 94304SIGNATURE: Cordell GreenDATE: 9/18/00

11128/0448
3/DOCS/10
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